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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission 35

|                        |                   |
|------------------------|-------------------|
| Application Number     | 10/828,997        |
| Filing Date            | April 20, 2004    |
| First Named Inventor   | David W. Caldwell |
| Art Unit               | 3729              |
| Examiner Name          | Carl J. Arbes     |
| Attorney Docket Number | 37041-11481       |

## ENCLOSURES (Check all that apply)

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| <input type="checkbox"/> Fee Transmittal Form                             | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> After Allowance Communication to TC                            |
| <input type="checkbox"/> Fee Attached                                     | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences     |
| <input type="checkbox"/> Amendment/Reply                                  | <input type="checkbox"/> Petition   | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavit/declaration(s)                         | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                        | <input type="checkbox"/> Terminal Disclaimer  | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):         |
| <input type="checkbox"/> Express Abandonment Request                      | <input type="checkbox"/> Request for Refund   | 1. Four References  |
| <input checked="" type="checkbox"/> Information Disclosure Statement      | <input type="checkbox"/> CD, Number of CD(s) _____                                      | 2. International Preliminary Examination Report   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)           | <input type="checkbox"/> Landscape Table on CD  | 3. Postcard   |
| <input type="checkbox"/> Reply to Missing Parts/Incomplete Application    | <input type="checkbox"/> Remarks  |   |
| <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 |   |   |

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|              |                    |          |        |
|--------------|--------------------|----------|--------|
| Firm Name    | Jenner & Block LLP |          |        |
| Signature    |                    |          |        |
| Printed name | Mark P. Vira       |          |        |
| Date         | October 12, 2006   | Reg. No. | 43,973 |

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| Signature             |                   |      |                  |
| Typed or printed name | Denise L. Maragos | Date | October 12, 2006 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (end by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT  
Attorney Docket  
37041-11481

Denise L. Maragos  
Name of Applicant, assignee, or Registered Rep.  
Denise L. Maragos October 12, 2006  
Signature Date

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: David W. Caldwell, et al.

Serial No: 10/828,997

Filed: April 20, 2004

Title **SUBSTRATE WITH MULTIPLE CONDUCTIVE LAYERS AND METHODS FOR MAKING AND USING SAME**

Group Art Unit: 3729

Examiner: Carl J. Arbes

## INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and in compliance with 37 C.F.R. § 1.56, the Office's attention is directed to the references listed on the attached PTO/SB/08A and B. A copy of each listed document is enclosed, including, as applicable, an English language abstract indicating the relevance of the document.

The undersigned hereby certifies that each item of information contained in this Statement was first cited by the international searching authority in connection with a corresponding international application not more than three months before the filing of this Statement. Applicant believes that this Statement is being filed before the mailing of an action closing prosecution on the merits. In view of the above, and pursuant to 37 C.F.R. § 1.97(c), Applicant believe that no fee is required for the consideration for this Statement. In the event Applicant is mistaken and the Office deems that the fee set forth in 37 C.F.R. § 1.17(p) is due, the Office is authorized to charge such fee to Deposit Account No. 10-0460.

Respectfully submitted,



Mark P. Vrla  
Registration No. 43,973

Dated: October 12, 2006

**JENNER & BLOCK LLP**  
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Facsimile No: (312) 527-0484

10828997 - GAU: 3729



PTO/SB/08A (09-06)  
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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

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| Sheet | 1 | of | 2 |
|-------|---|----|---|

**Complete if Known**

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| Art Unit               | 3729              |
| Examiner Name          | Carl J. Arbes     |
| Attorney Docket Number | 37041-11481       |

## U. S. PATENT DOCUMENTS

[illegible]

**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No.† | Foreign Patent Document                    | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | † |
|--------------------|-----------|--|------------------|---|---|---|
|                    |           | Country Code*Number**Kind Code* (if known) | MM-DD-YYYY       |   |   |   |
|                    |           | JP 02-067522                               | 03/1990          | Hayaji et al.                                   |   |   |
|                    |           | JP 04-032195                               | 02/1992          | Yamamoto et al.                                 |   |   |
|                    |           | JP 04-069979                               | 03/1992          | Yonitomi et al.                                 |   |   |
|                    |           | JP 07-140487                               | 06/1995          | Masaaki et al.                                  |   |   |

|                       |              |                    |         |
|-----------------------|--------------|--------------------|---------|
| Examiner<br>Signature | /Carl Arbes/ | Date<br>Considered | 1/20/11 |
|-----------------------|--------------|--------------------|---------|

\*EXAMINER: Include if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Initial copy of this form with next communication to applicant. \*Applicant's unique citation designation number (optional). \* See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. \*Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). \*For Japanese patent documents, the indication of the year of the grant of the Emperor must precede the serial number of the patent document. \*Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. \*Applicant is to place a check mark here if English language Translation is attached.

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /C.A./

PTO/SB/08B (09-06)

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

**Complete if Known**

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| Examiner Name | Carl J. Arbes |
|---------------|---------------|

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| Attorney Docket Number | 37041-11481 |
|------------------------|-------------|

Sheet 2

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of 2

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### NON PATENT LITERATURE DOCUMENTS

[illegible]

Examiner  
Signature

/Carl Arbes/

Date  
Considered

1/20/11

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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